

Express Mail Label No.: EV475170295US

Date of Deposit: March 22, 2005

Attorney Docket No. 24309-501

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Mark Hoffman et al.  
Serial No.: 09/696,762  
Filed: October 25, 2000  
For: INVESTMENT ADVICE SYSTEMS AND METHODS  
Examiner: Nga B. Nguyen  
Art Unit: 3628

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL LETTER**

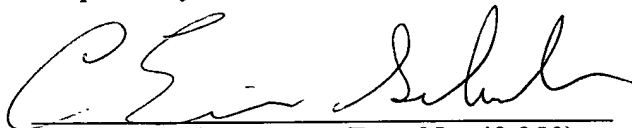
Transmitted herewith for filing in the present application are the following documents:

1. Response to Notice of Non-Compliant Amendment mailed March 9, 2005 (11 pgs.); and
2. Return Postcard.

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 542-6000, Boston, Massachusetts.

No fees are believed due. However, the Commissioner is authorized to charge any fees that may be due, or to credit any overpayment, to the undersigned's account, Deposit Account No. 50-0311 Ref. No. 24309-501. A duplicate copy of this transmittal letter is enclosed herewith.

Respectfully submitted,



C. Eric Schulman, Esq. (Reg. No. 43,350)

Attorney(s) for Applicants

MINTZ, LEVIN, COHN, FERRIS,

GLOVSKY and POPEO, P.C.

Tel: (617) 542-6000

Fax: (617) 542-2241

Customer no.: 30623

Dated: March 22, 2005



03-23-05

3628  
ifw

Express Mail Label No.: EV475170295US  
Date of Deposit: March 22, 2005

Attorney Docket No. 24309-501

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

5 Applicant: Mark Hoffman et al.  
Serial No.: 09/696,762  
Filed: October 25, 2000  
For: INVESTMENT ADVICE SYSTEMS AND METHODS  
Examiner: Nga B. Nguyen  
Art Unit: 3628

10 Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
15

**RESPONSE TO NOTICE OF NON-COMPLIANT AMENDMENT**

**MAILED MARCH 9, 2005**

20 In response to the Notice of Non-Compliant Amendment mailed March 9, 2005,  
Applicants submit herein the corrected "Amendments to the claims" section of the  
amendment document filed on January 31, 2005 in accordance with 37 CFR §1.121(h). As  
requested by the Notice, the status identifiers "previously amended" and previously added"  
have been changed to "previously presented." Applicants believe this corrected section  
25 satisfies the requirements under 37 C.F.R. § 1.121, and that the application is in condition  
for allowance.

Please amend this application as follows:

**Amendments to the Claims begin on Page 2 of this Response.**

30 **Remarks begin on Page 11 of this Response.**